

5 NOV 1979

MEMORANDUM FOR: All SIS Members

FROM: Deputy Director of Central Intelligence
SUBJECT: Supplemental Guidelines for SIS Advance
Work Plans

1. The Executive Committee on 17 October decided that Form 45W, developed as part of the new Agency-wide Performance Appraisal System, would be used in preparing Advance Work Plans (AWP) for SIS officers. A copy of this form is provided as Attachment A. Additional guidance is contained in the Performance Appraisal Handbook which previously was distributed. The deadline for the initial preparation of AWP's on SIS officers is extended to 1 December 1979.

2. The AWP form is simple in format and was designed for use with all categories and levels of Agency personnel. Section A of Form 45W provides for a brief general statement encompassing an individual's job responsibilities. Specific work objectives, goals and priorities are then listed in Section B.

3. The AWP is a particularly important document for SIS officers as it sets forth the criteria and standards for performance on which the SIS member will be rated and competitively evaluated for performance awards, rank stipends, promotions, and retention in SIS. Attachment B of this memorandum provides some general guidance for use in preparing AWP's on SIS members. It is not possible to provide specific guidance on every SIS position. The range of job skills, differences between staff and line responsibilities, varied emphasis on either managerial or specialist functions, all are factors which preclude setting up uniform standards or criteria applicable to all SIS jobs. However, performance is measurable in some form in all jobs. We have always sought to measure performance in CIA, and performance evaluation along with potential have always been the key factors on which promotions have been made. The AWP should be viewed as a tool in this process.

4. In drafting the AWP existing job descriptions, letters of instruction, MBO statements, operational directives, and other existing statements of responsibilities should be used for reference. An individual AWP may or may not make reference to these other statements, which may or may not be incorporated into the AWP. The important distinction is that the AWP should clearly set forth the goals and objectives for the coming year, and the criteria or "yardsticks" by which performance will be rated.

5. Our first year's experience will be most important in establishing the credibility and integrity of the new SIS system, especially the performance appraisal and awards provisions. It is essential that all perceive the system as rational and fair. This is a big challenge to each of us in SIS, and I invite you to join in making the new system a success. If you need further information or have questions, please contact the SIS Support Staff on extension [REDACTED]

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Frank C. Carlucci

ADVANCE WORK PLAN		CAUTION: BLANK FORM REQUIRES SECURE STORAGE IN FIELD.	
GENERAL INFORMATION			
1. SOC SEC NUMBER	2. NAME (last, first, middle)		
A. EMPLOYEE'S JOB—STATE BRIEFLY WHERE THE POSITION FITS IN THE STAFFING PATTERN AND, IF APPROPRIATE, THE NUMBER AND TYPE OF EMPLOYEES SUPERVISED BY THIS EMPLOYEE.			
B. WORK OBJECTIVES, GOALS AND PRIORITIES—LIST THE SPECIFIC OBJECTIVES AND GOALS, IN PRIORITY ORDER, FORMULATED BY THE SUPERVISOR AND THE EMPLOYEE.			
PERIOD COVERED		(To be attached to the PAR for this period.)	
SIGNATURE OF EMPLOYEE (Name typed)		SIGNATURE OF SUPERVISOR (Name typed)	
TITLE	DATE	TITLE	DATE

SUPPLEMENTAL GUIDELINES FOR THE PREPARATION AND APPLICATION OF
ADVANCE WORK PLANS FOR
MEMBERS OF THE SENIOR INTELLIGENCE SERVICE

I. GENERAL

The recently approved Senior Intelligence Service (SIS) for CIA establishes among its several provisions, a new compensation system for SIS members. The System institutes a direct relationship between the Advance Work Plan (AWP), the annual Performance Appraisal Report (PAR) and determinations of eligibility for consideration, on the one hand, for substantial monetary awards in recognition of excellence of performance or, on the other, for continued retention as a member of the SIS.

To bridge the gap from assignment of major duties and responsibilities to consideration for major awards or continued retention, it will be necessary to establish performance standards by which SIS members will be judged for the ensuing performance appraisal period. There is no set formula for accomplishing this. Some jobs may lend themselves to one kind of assessment and others to different kinds. In the final analysis, only the supervisors know by what set of criteria they judge their subordinates. These criteria, therefore, must be verbalized and translated into performance standards for understanding between supervisors and subordinates rated. The system allows full play by supervisors to set the types and levels of standards to suit their particular operations. The following statements are designed to assist in these efforts.

II. ADVANCE WORK PLAN

1. The new Performance Appraisal Report procedures require consultations between rated SIS officers and their supervisors to establish Advance Work Plans for the upcoming evaluation period. During these counseling periods, supervisors must confirm that rated officers understand the general provisions of the SIS system and are aware of the SIS performance appraisal and compensation provisions within the SIS system. Active participation by SIS members is vital in the process of identifying and agreeing on major work objectives and standards of performance. Subsequently, effective two-way communication between supervisors and SIS members regarding progress in meeting performance standards is essential throughout the rating cycle. Work objectives and performance standards must be recorded in writing to provide documentation that objectives and standards have been developed, what they are, and that they are understood by the SIS members. Significant modification to the performance standards during the performance appraisal cycle must also be in writing.

2. The Advance Work Plan is a multipurpose worksheet which is to be used for all SIS members to record:

(a) Major Work Objectives and Responsibilities

An accurate description of current work objectives and responsibilities is essential for a properly prepared AWP. These should include organization objectives relative to the missions of the component or specific topical objectives established by higher managerial authority which have cascaded downward from the DCI/DDCI to major components and to subordinate components, and individual objectives which are specific taskings to the rated officer which generally relate to those continuing responsibilities that are inherent aspects of the position assignment. For the initial start-up performance appraisal period, it is suggested that mission statements, letters of instruction, MBO's, position descriptions and other materials be used by supervisors and subordinates to develop major duties and responsibilities for the AWP.

(b) Performance Standards (criteria for measuring required results)

Once the major duties and responsibilities have been established and, hopefully, agreed between supervisors and subordinates, performance standards need to be established which identify and measure effectiveness. In other words, activities of subordinates must be seen as means employed to accomplish end results, and standards established by which to measure end results achieved. The evaluation of results will tell if the chosen activities accomplished the job. Performance standards, then, are criteria for differentiating satisfactory from unsatisfactory results and degrees of accomplishment such as superior or marginal.

While it is highly desirable to describe the specific performance requirements for each level, as a minimum, the written standards must contain enough specificity to convey clearly what is expected in meeting the work objectives fully and to serve as a gauge for overall performance which falls short of or exceeds that which fully meets the work objectives.

Some rules of thumb on performance standards are:

- ° Performance standards can be prepared for all positions.
To say that written standards cannot be prepared is the
same as saying that you cannot evaluate performance in
that position.
- ° Do not confuse standards with procedures.
- ° Be specific.
- ° Be sure the standard is observable and, therefore, documentable.
It is often advisable to state the method of observation.

- Be sure to establish a time frame.
- Standards should measure accomplishment in as many of the following dimensions as appropriate: quality, quantity, timeliness, cost effectiveness, effect obtained, manner of performance, and method of doing. This may be measured within the organization or by external customer acceptance of the work product.
- Where possible, state standards in terms of degrees of accomplishment, for example: Performance is superior when..., excellent when, unsatisfactory when...

(c) Interim Progress Reviews

Interim progress reviews will be held with SIS members by supervisors at least once each six months. Attachments should be used for any comments or changes as the results of this interim discussion, or, AWP's may need major revisions.

III. PERFORMANCE APPRAISAL REPORTS (PAR)

Performance appraisal based upon the Advanced Work Plan established at the beginning and, as may have been amended in the course of the evaluation period, is an essential feature of the SIS. Although the actual formalized PAR is not prepared until the end of the appraisal period, it is vital to stress again its functions and importance. The PAR links the quality of the SIS member's actual performance with assigned work objectives and prescribed standards. Determinations of eligibility of the rated individual for a performance award and/or nomination for a Distinguished or Meritorious Officer Rank Stipend are made from an assessment of the linkage. In addition, the relative quality level of ratings on overall and individual performance in the PAR will have a direct bearing on the level of performance and/or rank stipend that may be recommended and ultimately considered for approval. Performance appraisals will also be key elements in consideration for promotion, assignment, retention of membership in the SIS or even continued employment with the Agency. The below listed procedures and guidelines illustrate the extremely key part the PAR plays in the overall personnel performance appraisal process:

(a) The performance of all members of the SIS will be evaluated on an annual basis (with special reports as otherwise required) in accordance with published schedules. The standard Performance Appraisal Report (Form 45) will be utilized along with these additional guidelines in the evaluation of SIS members.

(b) An overall performance evaluation rating of level 5, 6, or 7 and individual duties evaluated at no less than level 5, will qualify an SIS member for consideration of a performance award.

(c) An overall performance evaluation rating of level 4, although indicating a satisfactory performance, will not qualify the individual for consideration for any performance awards.

(d) An overall performance evaluation of level 3 will only assure the rated SIS member of retention of basic annual salary level for the initial subsequent year following a level 3 rating. SIS members in this category must be counselled by the Head of the Career Service and must participate in a remedial program developed by the Career Service to assist the individual in overcoming any deficiencies in his or her performance.

(e) Two successive annual overall performance ratings of level 3 or a single annual overall performance rating of level 2 or 1 require that the Heads of Career Service refer the case to the Director of Personnel with a recommendation for administrative action. This can include retention in the SIS under closely observed probation for a definitive period of time; removal from the SIS and reduction to GS-15 level status and compensation; or termination from employment. The Director of Personnel will recommend to the DDCI the administrative action to be taken.

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